

01/18/02



J1131 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	P1393
	First Inventor	Chieh-Sheng Lin
	Title	Expression Vector Hirudin and Transgenic...
	Express Mail Label No.	EV062921344US

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10/053641



01/18/02

APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
3. <input checked="" type="checkbox"/> Specification [Total Pages 28] (preferred arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF)
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 8]	b. Specification Sequence Listing on: <ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input checked="" type="checkbox"/> paper
5. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed)i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	c. <input type="checkbox"/> Statements verifying identity of above copies
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	ACCOMPANYING APPLICATION PARTS
	9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s))
	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney
	11. <input type="checkbox"/> English Translation Document (if applicable)
	12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations
	13. <input type="checkbox"/> Preliminary Amendment
	14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
	15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
	16. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
	17. <input checked="" type="checkbox"/> Other: Check No's: 8887 & 8889

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label	24,394 (Insert Customer No. or Attach bar code label here)		or	<input type="checkbox"/> Correspondence address below	
Name	LaRiviere, Grubman & Payne, LLP				
Address	P.O. Box 3140				
City	Monterey	State	CA	Zip Code	93942
Country	US	Telephone	831-649-8800	Fax	831-649-8835

Name (Print/Type)	Mark E. Andrews	Registration No. (Attorney/Agent)	43,472
Signature	<i>Mark E. Andrews</i>	Date	Jan. 18, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT**(\$)**602.00****Complete if Known**

Application Number

Filing Date

January 18, 2002

First Named Inventor

Chieh-Sheng Lin

Examiner Name

Group Art Unit

Attorney Docket No.

P1393

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity | Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)**370.00****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
32	-20** = 12	9	108.00
5	-3** = 2	42	84.00
Multiple Dependent			

Large Entity | Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**192.00**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity | Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**40.00****SUBMITTED BY**

Name (Print/Type) Mark E. Andrews

Signature

Mark E. Andrews

Registration No.
(Attorney/Agent)

43,472

Complete (if applicable)

Telephone

831-649-8800

Date

Jan. 18, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

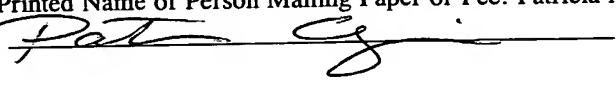
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Date of Deposit: January 18, 2002

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Typed or Printed Name of Person Mailing Paper or Fee: Patricia Aguillon

Signature: 

PATENT
Docket No. P1393

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: CHIEH-SHENG LIN
YU-LING SUN
PING-CHENG YANG
CHING-FU TU
SHINN-CHIH WU

SERIAL NO.: FILED HEREWITH

EXAMINER: UNASSIGNED

FILED: FILED HEREWITH

ART UNIT: UNASSIGNED

FOR: EXPRESSION VECTOR FOR HIRUDIN AND TRANSFORMED
CELLS AND TRANSGENIC ANIMALS CONTAINING SAID
VECTOR

BOX PATENT APPLICATIONS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

TRANSMITTAL

Dear Sir:

In connection with the above-referenced matter, transmitted herewith are the following:

1. Utility Patent Application Transmittal (1 page);
2. Fee Transmittal FY 2001 (1 page);
3. Application Data Information Sheet (3 pages);
4. Specification (15 pages); Claims (3 pages); and Abstract (1 page);
5. Informal Drawings (8 sheets, 8 figures);

6. Sequence Listings in paper format (3 sheets, 12 sequences);
7. Sequence Listing in Computer Readable Format (1 diskette);
8. Statement Verifying identity of Sequence Listings in both formats (1 page);
9. Declaration and Power of Attorney (2 pages);
10. Recordation Form Cover Sheet (1 page);
11. Assignment Agreement (1 page);
12. Information Disclosure Statement (2 pages);
13. Information Disclosure Statement by Applicant Form (1 page);
14. U.S. Patent No. 5,866,399 (6 pages);
15. U.S. Patent No. 5,824,505 (42 pages);
16. French Patent No. 0 158 564 (91 pages);
17. German Patent No. 0 168 342 (130 pages);
18. German Patent No. 0 171 024 (30 pages);
19. Great Britain Patent No. 0 412 526 (21 pages);
20. Great Britain Patent No. 0 687 731 (30 pages);
21. Article "The Complete Amino Acid Sequence of Hirudin, a Thrombin Specific Inhibitor; Application of Colour Carboxymethylation (5 pages);
22. Check No. 8889 in the amount of \$562.00 to cover the filing fees;
23. Check No. 8887 in the amount of \$ 40.00 to cover recordation fees;
24. Post card in acknowledgment of receipt of all transmitted materials.

Please date-stamp the enclosed post card and return to the undersigned in acknowledgment of receipt of all transmitted materials.

Respectfully submitted,



Mark E. Andrews

Reg. No. 43,472

MEA:kgi
January 18, 2002
LARIVIERE, GRUBMAN & PAYNE, LLP
P.O. Box 3140
Monterey, CA 93942
(831) 649-8800

37 C.F.R. §1.821(f) Verification Statement

I hereby state that the information recorded in computer readable form is identical to the written sequence listing.

Respectfully submitted,



Mark E. Andrews
Reg. No. 43,472

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January 18, 2002
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